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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**



Declaration  
Submitted  
With Initial  
Filing

OR



Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket  
Number

11321-P077WOUS

First Named Inventor

RICHARD E. SMALLEY ET AL.

**COMPLETE IF KNOWN**

Application Number

10/575,352

Filing Date

OCTOBER 14, 2004

Art Unit

UNKNOWN

Examiner Name

UNKNOWN

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**AMPLIFICATION OF CARBON NANOTUBES VIA SEEDED-GROWTH METHODS**

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

October 14, 2004

as United States Application Number or PCT International

Application Number

PCT/US2004/34002

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application<br>Number(s) | Country | Foreign Filing Date<br>(MM/DD/YYYY) | Priority<br>Not Claimed  | Certified Copy Attached? |                          |
|--|---------|-------------------------------------|--------------------------|--------------------------|--------------------------|
|  |         |                                     |                          | YES                      | NO                       |
| N/A                                    |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |



Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

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**DECLARATION — Utility or Design Patent Application**

Direct all correspondence to:



The address associated with Customer Number:

61060

OR ☐

Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Email

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**

A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])

Family Name or Surname

Richard E.

Smalley, Deceased

Inventor's Signature

*June M. Marsh**Executive of the Estate of Smalley*

Date

*8/10/07*

Residence: City

State

Country

Citizenship

Houston

TX

US

US

Mailing Address

1816 Bolsover Street

City

State

Zip

Country

Houston

TX

77005

US



Additional inventors or a legal representative are being named on the 4 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

**SUPPLEMENTAL DECLARATION UNDER 37 C.F.R. § 1.42  
FOR SIGNING BY LEGAL REPRESENTATIVE ON  
BEHALF OF DECEASED INVENTOR**

I, Irene M. Marek, hereby declare that I am a citizen of the United States, residing at 3 Stagestop Circle, Houston, Texas 77024. I further declare that I have been appointed as a legal representative of Richard E. Smalley, who passed away on October 28, 2005, as I am named as executrix in his will. Upon information and belief, I aver those facts that he is required to state in order to apply for a patent or allowance of any patent application in which he is listed as an inventor. Further, it is my understanding that this patent application in which Richard E. Smalley is listed as an inventor is to be assigned to Rice University, his employer since 1976, pursuant to the Rice University Policy.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 8/10/07

Irene M. Marek

Irene M. Marek

Legal Representative of Richard E. Smalley

Houston\_1\924196\1  
11321-P077WOUS 7/24/2007

# DECLARATION

## ADDITIONAL INVENTOR(S) Supplemental Sheet

Page 3 of 6

Name of Additional Joint Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))

Family Name or Surname

Robert H.

Hauge

Inventor's  
Signature

*R Hauge*

Date 3/12/2007

Houston

Residence: City

TX  
State

US

Country

US

Citizenship

4031 Turnberry Circle

Mailing Address

Houston

City

TX  
State

77025

Zip

US

Country

Name of Additional Joint Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))

Family Name or Surname

Andrew R.

Barron

Inventor's  
Signature

*AP*

Date 2/15/07

Houston

Residence: City

TX  
State

US

Country

GB

Citizenship

241 Asbury

Mailing Address

Houston

City

TX  
State

77007

Zip

US

Country

Name of Additional Joint Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))

Family Name or Surname

James M.

Tour

Inventor's  
Signature

*[Signature]*

Date

Bellatre

Residence: City

TX  
State

US

Country

US

Citizenship

4625 Spruce Street

Mailing Address

Bellatre

City

TX  
State

77401

Zip

US

Country

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**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 4 of 6

|   |             |   |                   |
|---|-------------|---|-------------------|
| <b>Name of Additional Joint Inventor, if any:</b>             |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))                        |             | Family Name or Surname  |                   |
| Howard K.   |             | Schmidt   |                   |
| Inventor's Signature <i>Howard K. Schmidt</i>                 |             | Date <i>2/7/07</i>  |                   |
| Cypress<br>Residence: City                                    | TX<br>State | US<br>Country   | US<br>Citizenship |
| 20702 Bradford Creek Court<br><i>20703</i><br>Mailing Address |             |   |                   |
| Cypress<br>City   | TX<br>State | 77433<br>Zip  | US<br>Country     |
| <b>Name of Additional Joint Inventor, if any:</b>             |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))                        |             | Family Name or Surname  |                   |
| W. Edward   |             | Billups   |                   |
| Inventor's Signature <i>W. Edward Billups</i>                 |             | Date <i>12/20/06</i>  |                   |
| Houston<br>Residence: City                                    | TX<br>State | US<br>Country   | US<br>Citizenship |
| 6416 Rutgers<br>Mailing Address                               |             |   |                   |
| Houston<br>City   | TX<br>State | 77005<br>Zip  | US<br>Country     |
| <b>Name of Additional Joint Inventor, if any:</b>             |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))                        |             | Family Name or Surname  |                   |
| Christopher A.  |             | Dyke  |                   |
| Inventor's Signature  |             | Date  |                   |
| Humble<br>Residence: City                                     | TX<br>State | US<br>Country   | US<br>Citizenship |
| 19611 Spoonwood Drive<br>Mailing Address                      |             |   |                   |
| Humble<br>City  | TX<br>State | 77346<br>Zip  | US<br>Country     |

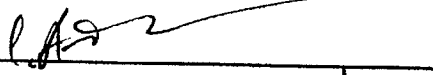
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Supplemental Sheet

Page 4 of 6

|  |             |   |                   |
|--|-------------|---|-------------------|
| <b>Name of Additional Joint Inventor, if any:</b>  |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))   |             | Family Name or Surname  |                   |
| Howard K.  |             | Schmidt   |                   |
| Inventor's Signature   |             | Date  |                   |
| Cypress<br>Residence: City   | TX<br>State | US<br>Country   | US<br>Citizenship |
| 20702 Bradford Creek Court   |             |   |                   |
| Mailing Address  |             |   |                   |
| Cypress<br>City  | TX<br>State | 77433<br>Zip  | US<br>Country     |
| <b>Name of Additional Joint Inventor, if any:</b>  |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))   |             | Family Name or Surname  |                   |
| W. Edward  |             | Billups   |                   |
| Inventor's Signature   |             | Date  |                   |
| Houston<br>Residence: City   | TX<br>State | US<br>Country   | US<br>Citizenship |
| 6416 Rutgers   |             |   |                   |
| Mailing Address  |             |   |                   |
| Houston<br>City  | TX<br>State | 77005<br>Zip  | US<br>Country     |
| <b>Name of Additional Joint Inventor, if any:</b>  |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))   |             | Family Name or Surname  |                   |
| Christopher A.   |             | Dyke  |                   |
| Inventor's Signature  |             | Date 2-15-2007  |                   |
| Humble<br>Residence: City  | TX<br>State | US<br>Country   | US<br>Citizenship |
| 19611 Spoonwood Drive  |             |   |                   |
| Mailing Address  |             |   |                   |
| Humble<br>City   | TX<br>State | 77346<br>Zip  | US<br>Country     |

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**DECLARATION**

**ADDITIONAL INVENTOR(S)**  
Supplemental Sheet

Page 5 of 6

Name of Additional Joint Inventor, if any:

☐

A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))

Family Name or Surname

Valerie C.

Moore

Inventor's  
Signature

Date

03-19-2007

Houston

Residence: City

TX

State

US

Country

US

Citizenship

2255 Braeswood Park Dr., No. 139

Mailing Address

Houston

City

TX

State

77030

Zip

US

Country

Name of Additional Joint Inventor, if any:

☐

A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))

Family Name or Surname

Elizabeth

Whitsitt

Inventor's  
Signature

Date

Houston

Residence: City

TX

State

US

Country

US

Citizenship

806 LaMonte Lane

Mailing Address

Houston

City

TX

State

77018

Zip

US

Country

Name of Additional Joint Inventor, if any:

☐

A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))

Family Name or Surname

Robin A.

Anderson

Inventor's  
Signature

Date

Houston

Residence: City

TX

State

US

Country

US

Citizenship

7499 Brompton Road, No. 172

Mailing Address

Houston

City

TX

State

77025

Zip

US

Country

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# DECLARATION

## ADDITIONAL INVENTOR(S) Supplemental Sheet

Page 5 of 6

|   |             |   |                   |
|---|-------------|---|-------------------|
| <b>Name of Additional Joint Inventor, if any:</b> |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))            |             | Family Name or Surname  |                   |
| Valerie C.  |             | Moore   |                   |
| Inventor's Signature                              |             | Date  |                   |
| Houston<br>Residence: City                        | TX<br>State | US<br>Country   | US<br>Citizenship |
| 2255 Braeswood Park Dr., No. 139                  |             |   |                   |
| Mailing Address                                   |             |   |                   |
| Houston<br>City                                   | TX<br>State | 77030<br>Zip  | US<br>Country     |
| <b>Name of Additional Joint Inventor, if any:</b> |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))            |             | Family Name or Surname  |                   |
| Elizabeth   |             | Whitsitt  |                   |
| Inventor's Signature                              |             | Date  |                   |
| <i>Elizabeth Whitsitt</i>                         |             | 11/04/07  |                   |
| Houston<br>Residence: City                        | TX<br>State | US<br>Country   | US<br>Citizenship |
| 806 LaMonte Lane                                  |             |   |                   |
| Mailing Address                                   |             |   |                   |
| Houston<br>City                                   | TX<br>State | 77018<br>Zip  | US<br>Country     |
| <b>Name of Additional Joint Inventor, if any:</b> |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))            |             | Family Name or Surname  |                   |
| Robin A.  |             | Anderson  |                   |
| Inventor's Signature                              |             | Date  |                   |
| Houston<br>Residence: City                        | TX<br>State | US<br>Country   | US<br>Citizenship |
| 7490 Brompton Road, No. 172                       |             |   |                   |
| Mailing Address                                   |             |   |                   |
| Houston<br>City                                   | TX<br>State | 77025<br>Zip  | US<br>Country     |

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| <b>DECLARATION</b>        | <b>ADDITIONAL INVENTOR(S)</b><br>Supplemental Sheet |
| Page <u>5</u> of <u>6</u> |   |

|   |  |                            |  |   |  |                             |  |
|---|--|----------------------------|--|---|--|-----------------------------|--|
| <b>Name of Additional Joint Inventor, if any:</b> |  |                            |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor |  |                             |  |
| Given Name (first and middle (if any))            |  |                            |  | Family Name or Surname  |  |                             |  |
| Valerie C.  |  |                            |  | Moore   |  |                             |  |
| Inventor's Signature                              |  |                            |  |   |  | Date                        |  |
| Houston<br>Residence: City                        |  | TX<br>State                |  | US<br>Country   |  | US<br>Citizenship           |  |
| 2255 Braeswood Park Dr., No. 139                  |  |                            |  |   |  |                             |  |
| Mailing Address                                   |  |                            |  |   |  |                             |  |
| Houston<br>City                                   |  | TX<br>State                |  | 77030<br>Zip  |  | US<br>Country               |  |
| <b>Name of Additional Joint Inventor, if any:</b> |  |                            |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor |  |                             |  |
| Given Name (first and middle (if any))            |  |                            |  | Family Name or Surname  |  |                             |  |
| Elizabeth   |  |                            |  | Whitsitt  |  |                             |  |
| Inventor's Signature                              |  |                            |  |   |  | Date                        |  |
| Houston<br>Residence: City                        |  | TX<br>State                |  | US<br>Country   |  | US<br>Citizenship           |  |
| 808 LaMonte Lane                                  |  |                            |  |   |  |                             |  |
| Mailing Address                                   |  |                            |  |   |  |                             |  |
| Houston<br>City                                   |  | TX<br>State                |  | 77018<br>Zip  |  | US<br>Country               |  |
| <b>Name of Additional Joint Inventor, if any:</b> |  |                            |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor |  |                             |  |
| Given Name (first and middle (if any))            |  |                            |  | Family Name or Surname  |  |                             |  |
| Robin E.  |  |                            |  | Anderson  |  |                             |  |
| Inventor's Signature <i>Robin Anderson</i>        |  |                            |  |   |  | Date <i>13 Apr 07</i>       |  |
| Houston<br>Residence: City <i>Toronto</i>         |  | TX<br>State <i>Ontario</i> |  | US<br>Country <i>Canada</i>   |  | US<br>Citizenship           |  |
| 7490 Brimington Road, No. 122                     |  |                            |  |   |  |                             |  |
| Mailing Address <i>100 Gloucester St #803</i>     |  |                            |  |   |  |                             |  |
| Houston<br>City <i>Toronto</i>                    |  | TX<br>State <i>ON</i>      |  | 77085<br>Zip <i>M4Y1M1</i>  |  | US<br>Country <i>Canada</i> |  |

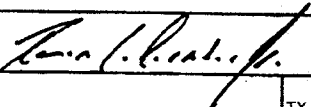
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Supplemental Sheet

Page 6 of 6

|  |             |   |                   |
|--|-------------|---|-------------------|
| <b>Name of Additional Joint Inventor, if any:</b>  |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))   |             | Family Name or Surname  |                   |
| Ramon  |             | Colorado, Jr.   |                   |
| Inventor's Signature  |             | Date 4/15/07  |                   |
| Houston<br>Residence: City   | TX<br>State | US<br>Country   | US<br>Citizenship |
| 5104 Irving Way  |             |   |                   |
| Mailing Address  |             |   |                   |
| Houston<br>City  | TX<br>State | 77087-3629<br>Zip   | US<br>Country     |
| <b>Name of Additional Joint Inventor, if any:</b>  |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))   |             | Family Name or Surname  |                   |
| Michael P.   |             | Stewart   |                   |
| Inventor's Signature   |             | Date  |                   |
| Houston<br>Residence: City   | TX<br>State | US<br>Country   | US<br>Citizenship |
| 2829 Lockett Street  |             |   |                   |
| Mailing Address  |             |   |                   |
| Houston<br>City  | TX<br>State | 77021<br>Zip  | US<br>Country     |
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| Given Name (first and middle (if any))   |             | Family Name or Surname  |                   |
| Douglas C.   |             | Ogrin   |                   |
| Inventor's Signature   |             | Date  |                   |
| Houston<br>Residence: City   | TX<br>State | US<br>Country   | US<br>Citizenship |
| 2825 Bellefontaine, No. 240A   |             |   |                   |
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Supplemental Sheet**Page 6 of 6

|   |             |   |                   |
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| <b>Name of Additional Joint Inventor, if any:</b> |             | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                   |
| Given Name (first and middle (if any))            |             | Family Name or Surname  |                   |
| Ramon   |             | Colorado, Jr.   |                   |
| Inventor's Signature                              |             | Date  |                   |
| Houston<br>Residence: City                        | TX<br>State | US<br>Country   | US<br>Citizenship |
| 5104 Irving Way                                   |             |   |                   |
| Mailing Address                                   |             |   |                   |
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| Given Name (first and middle (if any))            |             | Family Name or Surname  |                   |
| Michael P. — Michael P.                           |             | Stewart   |                   |
| Inventor's Signature                              |             | Date  |                   |
| Michael P. Stewart                                |             | 31-Jan-07   |                   |
| Houston<br>Residence: City                        | TX<br>State | US<br>Country   | US<br>Citizenship |
| Mountain View CA                                  |             |   |                   |
| 2829 Lockett Street                               |             |   |                   |
| Mailing Address                                   |             |   |                   |
| 392 N. Rengstorff Ave. Apt. 2                     |             |   |                   |
| Houston<br>City                                   | TX<br>State | 77021<br>Zip  | US<br>Country     |
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| Given Name (first and middle (if any))            |             | Family Name or Surname  |                   |
| Douglas A.  |             | Ogrin   |                   |
| Inventor's Signature                              |             | Date  |                   |
| Houston<br>Residence: City                        |             | TX<br>State   | US<br>Country     |
| 2825 Bellefontaine, No. 240A                      |             |   |                   |
| Mailing Address                                   |             |   |                   |
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| Given Name (first and middle (if any))            |             | Family Name or Surname  |                   |
| Douglas C.  |             | Ogrin   |                   |
| Inventor's Signature <i>Douglas C. Ogrin</i>      |             | Date <i>3-14-07</i>   |                   |
| Houston<br>Residence: City                        | TX<br>State | US<br>Country   | US<br>Citizenship |
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